Research Administration Advisory Council (RAAC)
Committee-at-Large

Tuesday, March 16, 2021, 3:00 – 4:30 pm
Zoom Meeting
MINUTES

Attendees:

Andrea Anderson – ORSP	**Jennifer Huntington** – Ross School	**Lisa Parker** – Nursing
Kristie Beckon – Sponsored Programs	**Laura Kaminski** – Ford School	**Umesh Patel** – BEC
Beth Brant – Medical School	**Karen Kirchner** – Nursing	**Susan Powell** – Engineering
Cheri Brooks – ISR	**Patrick Lagua** – Dentistry	**Craig Reynolds** – ORSP
Linda Chadwick – ORSP	**Maureen Martin** – Found. Rel.	**Jane Sierra** – Medical School
Cindy Dames – ORSP	**Charlie Mattison** – ISR	**Debbie Talley** – Sponsored Programs
Lori Deromedi – UMOR	**Jill Miller** – LSI	**Anne Thomson** – LSA
Kathy Devereux – UMOR	**Jan Mitchell** – Pharmacy	**Pat Turnbull** – U-M Dearborn
Chris DeVries – RAAC	**David Mulder** – ORSP	**Bryan VanSickle** – Sponsored Programs
Stephanie Hensel – Education	**Becky O'Brien** – Information	**Rick Wintergerst** – Engineering
Teresa Herrick – SEAS	**Carolyn Pappas** – ITS	

1. **Welcome** (*Debbie Talley*)

   Debbie called the meeting to order at 3:00 p.m.

2. **Presentation:** RAAC Metrics Subcommittee Update (*Jennifer Huntington*)   Attachment #1

   Jennifer provided the RAAC Metrics Subcommittee update.

   <u>Membership</u>:
   There have been no membership changes since the last RAAC CAL update.

   <u>Available Reports</u>:
   - Tableau reports:
     - Deadline Policy Metrics
     - Budget Period Funding - when the project is awarded and start date
     - Updated permissions to align with data warehouse access
   - Report Library in M-Reports
   - Business Objects - new and updated
   - Current Support - used as a report only
     - Use of SciENcv
     - Must still add internal and other support

   <u>Report examples</u>:

Jennifer gave a brief overview of the Tableau visualizations. There are tabs along the top to see various reports or different versions of the same data. At the bottom you will see the trends by month for submissions. Once you change the hierarchy for your group it will follow through other reports.

- Proposal Visualization - Submission Counts, Dollars, Submission by Sponsor, by Size, Submissions by Size and Status, by Sponsor and Status, Awaiting Response.

- Award Visualizations - Award Counts, Dollars, Largest Awards by Dollars, Award Dollars by Sponsor, Awards by Size.

- Other Visualization - Deadline Policy, Budget Period Funding, Success Rates, Expenditures, Indirect Costs, Receivables.

Business Objects Reports:
- Updated reports: U-M Maintained for Research - published by ORSP Data & Reporting.
- New: Unit Maintained for Research Administration - published by RAAC Metrics for requests or examples from units.

M-Reports:
- Report Library - provides a more searchable way to get reports in all areas of the Data Warehouse. This is an easier way to access reports in a more central location.
- Current Support - includes two reports. One is the same you currently can pull, and one you can pull HR data for current and pending. For this report to be most effective, please complete the goals section of the PAF.

Communications:
    A RAP will be coming soon on all the new reports. RAAC Metrics is looking for feedback of what you like or dislike so the reports can be adjusted as needed.

    Jane asked who has access to the Tableau visualizations. Jennifer responded that anyone who is a member of the following groups has access by default – the RAAC Committee-at-Large; Research Associate Deans; Deans/Directors; and, the Budget Administrators Group. Additionally, anyone with eRPM Data Warehouse access can also access the visualizations.

3.   **ORSP Update** (*Craig Reynolds*)   Attachment #2

    NIH Notice NOT-OD-21-073 addresses new requirements for Biosketches and Other Support reporting. This applies to applications and RPPRs submitted for due dates on or before May 25, 2021. There are many changes required and most are the result of the Joint Commission on Research (JCOR) recommendations. The JCOR report includes foreign influence and international engagements.

Notable Changes:
- A new Other Support form that each senior/key person must electronically sign as a PDF prior to submission.
- Private outside consulting agreements are a form of Other Support if the senior/key person is conducting research as part of the consulting activities.
- Copies of any agreement specific to senior/key person's foreign Other Support, appointment or employment must be submitted. If the agreement is not in English, a translated copy must be provided.

- Could apply to both institutional or outside agreements.
- Monetary gifts are a form of Other Support if the donor has an expectation of anything in return (time, services, specific research activities, money, etc.).
- An item or service given by a donor with the expectation of an associated time commitment from a senior/key person must be reported as an in-kind form of Other Support.
- If we discover that Other Support information for an active NIH grant has not been disclosed as required, we must submit updated Other Support to the Grants Management Specialist as soon as the fact becomes known.

BioSketch Changes:
- Section B "Positions and Honors" has been renamed to "Positions, Scientific Appointments and Honors'" and the order is now "reverse chronological order."
- Personal Statement to include ongoing and completed research projects from the past three years that the senior/key person wants to highlight (previously known as research support).
- Section D on research support removed from the non-Fellowship biosketch, and for the Fellowship Biosketch, that same section has been updated to remove "Research Support."
- All of these documents need to be incorporated into the JIT and RPPR submissions prior to submission to ORSP.
- Obtaining copies of U-M award documents:
  - eRPM contains full copies of all grant and contract award documents (including foreign awards) that went through ORSP.
  - Submit the original award and every amendment that has been subsequently signed in a single .pdf.
- Obtaining copies of all other documents:
  - Senior/key personnel must obtain and furnish .pdf copies of their foreign appointment letters, employment contracts, or any funding documents from a foreign entity.
- No guidance on translations services and costs, but would not be allowable as direct charge. Guidance on translation services and costs will be provided as soon as it is known.

Locate documents:
- Work with faculty to look for all foreign awards (internally and externally).
- Active foreign award document (funded or unfunded) that could reasonably meet the test of "related to/in support of" senior/key person's research.
- Foreign appointment letters and employment contracts.
- Consulting arrangements (domestic and foreign) where the senior/key person is conducting research.
- Gifts (foreign and domestic) that could reasonably meet the test of "related to/in support of" senior/key person's research.

Suggested preparations:
- Have foreign agreements translated if needed.
- Create an electronic repository to readily provide documentation when needed. Add new documents as you receive new funding or under new arrangements.
- Become familiar with saving a word document to .pdf format.
- Identify anyone likely to be on existing or future NIH proposals who would meet the test of "senior/key personnel" and make sure they take the same preparatory steps.

Questions to Ponder:
- What do we do if no documentation exists?

- What does it mean to work with a foreign entity (e.g., is Toyota in Ann Arbor considered a foreign entity since it is a subsidiary of a foreign institution)?
- What about confidential docs?
- What do we do about faculty consulting activities - does it matter whose research (the company's or investigators)?
- Consulting arrangements that are not part of the institution and not part of their effort?
- NIH's definition of "gift" is much more narrow than U-M's. What are the implications for reporting?

Becky asked if Other Support will be required at proposal submission time or at Just-in-Time? Craig responded that the Biosketch will be required at proposal submission and Other Support will be required at Just-in-Time.

Beth asked if this means that ORSP will eyeball Other Support prior to submission on RPPR to make sure it is signed? Will there be a double check from ORSP to make sure it is correct? Craig answered that David Mulder is running the compliance checks, but at this point, he can't commit to ORSP taking on the task of ensuring signatures.

Patrick asked if it would be possible to create some kind of Google doc or intake form for questions to ORSP from units regarding these changes? Craig responded that ORSP can do this.

Maureen asked if the requirements around gifts will apply only to those that come from overseas or all gifts generally. Craig answered that it applies to all gifts generally. Maureen responded that it would be helpful to have the gift offices in each of the schools be made aware of this. Especially at Med and possibly Engineering. Craig thought that was good advice and hoping we can propose an interpretation to the U-M policy.

4. **ITS Update** (*Carolyn Pappas*)

We are set for the upcoming release on April 5 - adding all post-award contacts (administrator) for emails, activities, and both primary and added contacts can execute. Release notes forthcoming. Once the release is completed, ITS will focus on the redesign of the PACR.

5. **Sponsored Programs Update** (*Debbie Talley*)

NSF Audit: Thanks to everyone getting back information to Bryan and he will provide it to the auditors.

Close-out: We are closing out a lot of projects and there's been questions about the process. Go to the Close-out Checklist to confirm you have provided everything.

6. **RAAC DEI Workgroup Update** (*Chris DeVries*)

The RAAC DEI workgroup is sending out a survey to assess the needs and plans going forward. Chris will circulate to the DEI workgroup to approve. Smaller workgroups are being formed to focus on hiring and communications.

Sent an email on behalf of the Navigate team to ask for volunteers/interest on a program review for RAMP. The volunteers will help the workgroup distribute sections for program review. Looking to launch in May.

We brought on another member to the DEI workgroup and will update later once the workgroup is notified.

7.   **Closing and Future Meetings** (*Debbie Talley*)

The next meeting is April 20th and the update will be from the RAAC Process subcommittee. If you have questions on Other Support send them to David Mulder at ORSP.other.support@umich.edu.

The meeting adjourned at 3:45 p.m.

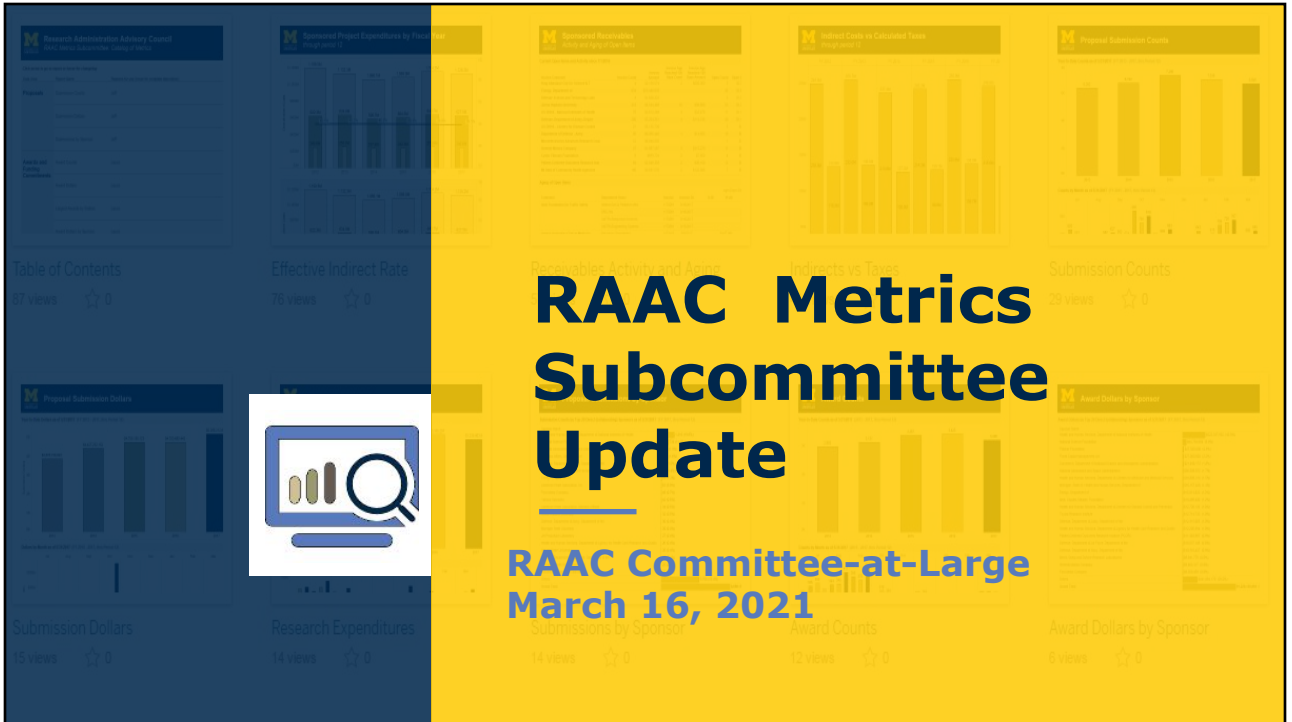
RAAC Committee-At-Large Meeting Dates
- Tuesday, April 20, 2021 (*Melissa Karby*, RAAC Process Subcommittee)
- Tuesday, May 18, 2021 (*Patrick Lagua*, RAAC Training Subcommittee)
- Tuesday, June 15, 2021 (*Cathy Liebowitz*, RAAC Communications Subcommittee)

Executive Committee Meetings (*all meetings 3:30-5:00 p.m., unless otherwise noted*)

- Tuesday, April 13, 2021
- Tuesday, May 11, 2021
- Tuesday, June 8, 2021

RAAC Metrics Subcommittee Update

**RAAC Committee-at-Large
March 16, 2021**

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Agenda

Today's agenda

- RAAC Metrics membership
- Recently Completed
- Upcoming
- Q&A

RAAC Metrics membership

- Chris Allan (ISR)
- Steve Beach (LSA)
- John Cristiano (Dearborn)
- Chris DeVries (RAAC)
- Laura Dickey (ORSP)
- Stephanie Hensel (School of Education)
- Jennifer Huntington, chair (Ross School)
- Adam Mall (Sponsored Programs)

- Vasu Ramani (ITS)
- Mike Randolph (ITS)
- Kristen Rea (LSA)
- Rachael Ristau (Engineering)
- Susan Sica (Medical School)
- Amy Webb (ORSP)
- Beth Wenner (ORSP)
- Rick Wintergerst (Engineering)

no membership changes since last update

Reports now Available

- Tableau Reports
  - Deadline Policy Metrics
  - Budget Period Funding
  - Updated permissions to align with data warehouse access
- Report Library in M-Reports
- Business Objects - New & Updated
- Current Support - use as a report only
  - Use of SciENcv
 - Must still add internal and other support

Proposal Visualization

Tableau

Submission Counts
Submission Dollars
Submission by Sponsor
Submissions by Size
Submissions by Size and Status
Submissions by Sponsor and Status
Awaiting Response
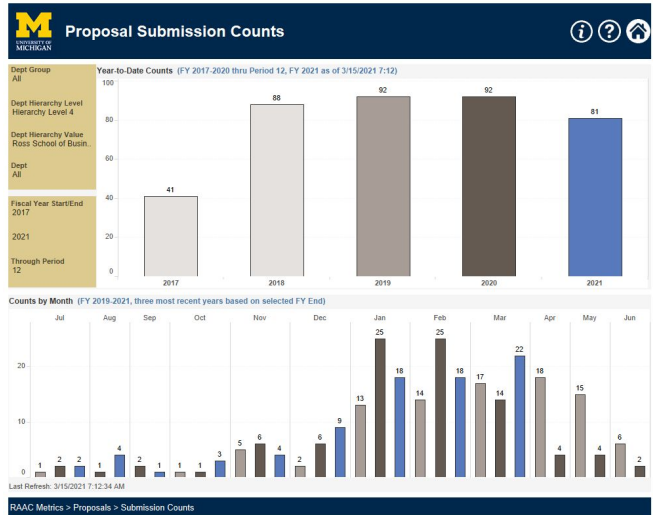
Award Visualizations

Tableau

Award Counts
Award Dollars
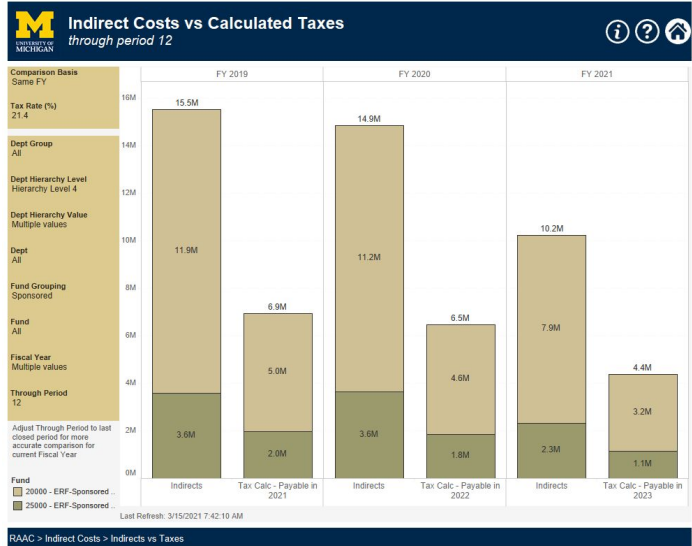Largest Awards by Dollars
Award Dollars by Sponsor
Awards by Size
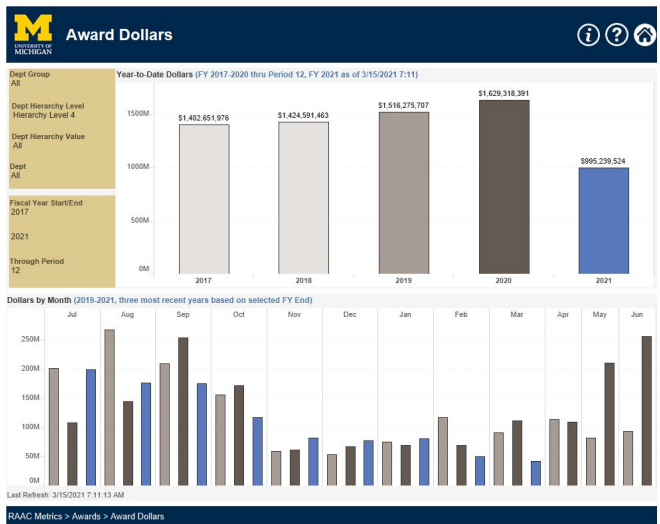
Other Visualizations

Tableau

- Deadline Policy
- Budget Period Funding
- Success Rates
- Expenditures
- Indirect Costs
- Receivables

Business Objects Reports

Data Warehouse

- Updated: U-M Maintained > Research
  - Published by ORSP Data & Reporting

- NEW!: Unit Maintained > Research Administration
  - Published by RAAC Metrics
  - Requests or examples from units

Report Library

M-Reports

MY CRITERIA:		save criteria	reset criteria to default

Search

Data Area	Business Process	Environment
All	Research Administration	Data Warehouse

Report Title ↕	Report Description	Data Area ↕	Business Process ↕	Environment ↕	View Details
AR01 AcctsRec Aging Detail by Project Grant	A quick detailed view of outstanding invoices. It is helpful because it shows which invoices are significantly past due.	Financials	Research Administration	Data Warehouse	Details
AR01 AcctsRec Statement of Receivables by Project Grant	Useful because it shows information about invoice activity (new, payments, credit memos, write-offs) during the month.	Financials	Research Administration	Data Warehouse	Details
Budget Journal History (parent with subs) [FN01]	Shows all budget journal lines for awards, modifications, and budget allocations from the parent project/grant to all of its subs	Financials	Research Administration	Data Warehouse	Details
CMB Project/Grant Budget Status	A canned query but it is extremely useful because it shows PAN/PAC histories, Budget vs. Expenses, Expenses by FY, etc.	Financials	Research Administration	Data Warehouse	Details
CMB Summary of Projects with Actuals [AR01 FN01]	Sponsored Project Actuals balances with outstanding receivables info by Dept Group, Dept, or Principal Investigator	Financials	Research Administration	Data Warehouse	Details
CMB UG Expense Review Aid [FN01 FN05 FN06]	Used to review Uniform Guidance (UG, formerly A-21) expenses by Project/Grant (P/G). Should be run regularly (at least annually) to resolve potential issues before end of award. A version with payroll data also exists in the same location.	Financials	Research Administration	Data Warehouse	Details
CMB UG Expense Review Aid for Parent with Subs [FN01 FN05 FN06]	Used to review Uniform Guidance (UG, formerly A-21) expenses by Parent Project/Grant (P/G) and its subprojects. Should be run regularly (at least annually) to resolve potential issues before end of award. A version with payroll data also exists in the same location.	Financials	Research Administration	Data Warehouse	Details
Current and Pending Projects v1 (with HR effort) [HR01 RS02]	Originally created for pasting into Current & Pending/Other Support Excel template found in RA Toolkit on Research website, but can be used to just view relevant data. Requires access to RS02 (Proposal Mgmt) and HR01 (HR) datasets.	Proposal/Award Management	Research Administration	Data Warehouse	Details
Current and Pending Projects v1 [RS02]	Originally created for pasting into Current & Pending/Other Support Excel template found in RA Toolkit on Research website, but can be used to just view relevant data. Requires access to RS02 (Proposal Mgmt) dataset.	Proposal/Award Management	Research Administration	Data Warehouse	Details
Effort by Employee [HR01]	Simple report for getting current and past year's effort for purpose of assistance in completing Current and Pending/Other Support.	Human Resources	Research Administration	Data Warehouse	Details
eVerify by DeptID [FN01]	All active sponsored projects with an e-Verify date input in the P/G ChartFields Panel (FINPROD) as a result of FAR clause 52.222-54 being referenced in the contract or subcontract.	Financials	Research Administration	Data Warehouse	Details

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Current Support

M-Reports

Report Library

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Current and Pending Projects v1 [RS02]	Originally created for pasting into Current & Pending/Other Support Excel template found in RA Toolkit on Research website, but can be used to just view relevant data. Requires access to RS02 (Proposal Mgmt) dataset.	Proposal/Award Management	Research Administration	Data Warehouse	Details

For reports to be most effective, please complete the goals section of the PAF.

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Communications

Upcoming

RAP Email - Coming soon!
- ○ Promote the Tableau Catalog
- ○ Announce updated and new BusinessObjects Reports
- ○ Promote M-Report Catalog
- ○ Current Support

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Questions/Discussion

Q&A

ORSP Update
RAAC Committee at Large

Craig Reynolds, Asst. Vice President for Research, ORSP
March 16, 2021

NIH Guide Notice NOT-OD-21-073

Upcoming Changes to the Biographical Sketch and Other Support Format Page for Due Dates on or after May 25, 2021

- A new Other Support form that each senior/key person must electronically sign as a PDF prior to submission.
- Private outside consulting agreements are a form of Other Support if the senior/key person is conducting research as part of the consulting activities.
- Copies of any agreement specific to senior/key person's foreign Other Support, appointment or employment must be submitted. If the agreement is not in English, we must provide a translated copy.

NIH Guide Notice NOT-OD-21-073

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- If we discover that Other Support information for an active NIH grant has not been disclosed as required, we must submit updated Other Support to the Grants Management Specialist as soon as the fact becomes known.

NIH Guide Notice NOT-OD-21-073

BioSketch Changes

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- Personal Statement to include ongoing and completed research projects from the past three years that senior/key person wants to highlight (previously known as research support).
- Section D on research support removed from the non-Fellowship biosketch, and for the Fellowship Biosketch, that same section has been updated to remove "Research Support".

NIH Guide Notice NOT-OD-21-073

- Project Teams to incorporate documents into their proposal, JIT and RPPR submissions prior to submission to ORSP

- Obtaining copies of U-M award documents:

  - eRPM contains full copies of all grant and contract award documents (including foreign awards) that went through ORSP.

  - Submit the original award <u>and</u> every amendment that has been subsequently signed in a single .pdf.

NIH Guide Notice NOT-OD-21-073

- Obtaining copies of all other documents
  - Senior/key personnel must obtain and furnish .pdf copies of their foreign appointment letters, employment contracts, or any funding documents from a foreign entity.
- Guidance on translation services and costs will be provided as soon as it is known.

NOT-OD-21-073 Suggested Preparations

- Locate copies of all:
  - Active <u>foreign</u> award documents (funded or unfunded) that could reasonably meet the test of "related to/in support of" senior/key person's research.
  - <u>Foreign</u> appointment letters and employment contracts
  - Consulting arrangements (domestic and foreign) where the senior/key person is conducting research
  - Gifts (foreign and domestic) that could reasonably meet the test of "related to/in support of" senior/key person's research.
- Have foreign agreements translated if needed.

NOT-OD-21-073 Suggested Preparations

- Create an electronic repository to readily provide documentation when needed. Add new documents as you receive new funding or undertake new arrangements.
- Become familiar (if needed) signing NIH's "Other Support" form electronically.
- Become familiar (if needed) saving a Word document to .pdf format
- Identify anyone likely to be on existing or future NIH proposals who would meet the test of "Senior/Key Personnel" and make sure they take the same preparatory steps.

NOT-OD-21-073 Questions to Ponder

- What do we do if no documentation exists (e.g. in-kind support)?
- How is "foreign" defined (e.g., a U.S. subsidiary of a foreign company)?
- What do we do about confidential docs?
- When deciding whether to include consulting activities, whose research is determinative, the company's or our investigators?
- What do we do about effort if we include consulting arrangements that are not calculated into our investigators 100% appointment?
- NIH's definition of "gift" is much more narrow than U-M's. What are the implications for reporting?
- … and more!